STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
San Luis Obispo	Coastal	HPG 5
Inspected by:		Date:
Lt. C. Day		11/24/2009

Page 1 of 3

☐ Division Level ☑ Command ☐ Executive Office Level	d Level	Total hours expended on the inspection: 2 hours	Corrective Action Plan Included Attachments Included
Follow-up Required:	Forwa	rd to:	
☐ Yes No		al Division	
Chapter Inspection:			
nspector's Comments Reg	arding I	nnovative Practices:	
one			
· · · ·			
command Suggestions for	Statewi	de Improvement:	
one			

The Chapter 5 checklist from HPG 22.1 contained items that are out of date and no longer applicable. Checklist items such as stenographers, computer use, and manuals are out of date and no longer applicable. With the creation of HPM 22.1, fiscal controls (X numbers, petty cash and change fund, counter receipts, etc.) are now covered in more detail in the HPM.

Checklist issues and responses:

- 1.a.(2) and 1.a.(3): Stenographers: The San Luis Obispo does not employee stenographers and dictation is not used.
- 1.b.(4): OSS I: There is only one OSS I assigned to the San Luis Obispo Area.
- 2.c.(3): Performance appraisals: all performance appraisals were not completed on time.
- 3.a.(1): Criminal records: The Area uses the dispatch center to obtain criminal records. No office personnel have been designated to obtain criminal record information.
- 3.a.(1)(a): The dispatch center utilizes the 263B log.

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- 4.a.(3)(a): X numbers: The checklist asked if services over \$1000 are procured. This box was
 marked "yes" because the X number amount changed to \$4999 or less. X numbers related to
 facilities issues are all obtained from Facilities Section and X numbers for all other services are
 obtained from Coastal Division.
- 4.a.(3)(c): Price quotes for X numbers: If bids are obtained from two DGS-certified small business then only two bids are required. This box was checked "no" on the checklist because the Area frequently obtains bids from DGS-certified small businesses and only obtains two bids.
- 4.c.(3): Postage machine repairs: The Area has never encountered a postage machine failure requiring the refund of monies.

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management, procurement, and fiscal controls.

Command:	Division:	Chapter:
San Luis Obispo	Coastal	HPG 5
Inspected by:	***	Date:
Lt. C. Day		11/24/2009

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Commander's Nespons	se: 🖂 Concur or 🗌 Do Not Concur (Do Not Concur shall document basis for response)
All of the findings of the	inspection are accurate.
	Shall address non concurrence by commander (e.g., findings revised, findings unchanged,

Required Action:

Corrective Action Plan/Timeline:

Annual performance appraisals: until recently the employee performance appraisals were not always completed in a timely manner. The following steps have been taken to remedy the problem:

- A performance appraisal database has been created to track performance appraisals.
- The Area suspense system is used to notify the lieutenant of needed performance appraisals.
- The lieutenant provides a list to all supervisors and managers of needed performance appraisals.
- The lieutenant follows up with all supervisors and managers to ensure the appraisals are completed.

Following the creation of this system nearly all performance appraisals have been completed and a system is now in place to ensure future appraisals are completed on time.

	like to discuss this report with	COMMANDER'S SIGNATURE	DATE
the reviewer (See HPM 9.1. 0	Chapter 8 for appeal procedures.)	C0626	12.29-09
	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	INSPECTOR'S SIGNATURE	DATE
			12-29-09
Reviewer discu	ssed this report with	REVIEWER'S SIGNATURÉ	DATE
employee	_	-24 10318	- 1 1 -
Concur Co	Do not concur	SBAN MARAE	12/31/2009

STATE ÓF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA.	DIVISION	NUMBER
Conejo IF 771	Coastal Division	
EVALUATED BY		DATE
R. Klucker, Sgt		11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

Forma		mal Evaluation	SUSPENSE DATE			
FOLLOW-UP R	EQUIRED No	Correction Report	COMMANDER CEVIEW	Se Sc Mursay Lr	DATE	4.09
1. CLERIC	CAL TASKS		EVALUATED Yes	NO REQUIRED	CORRECTED	Ĵ
a. Is th	ne office well organized?				✓ Yes	□No
(1)	Are there written job des	scriptions?			✓ Yes	[] No
	(a) Does clerical staff h	nave their job description at their	r desk?		∀es	□No
	(b) Does clerical staff u	inderstand what is expected of	them?		✓ Yes	□No
(2)	Are similar activities gro	uped together to promote efficie	ency?		✓ Yes	□No
(3)	If tape recorders are use	ed, can clerical employees trans	scribe effectively? ${\cal W}$,	/A	Yes	[] No
	Is the clerical staff know security, etc.?	ledgeable in the use of persona	al computers, filing requireme	ents, information	Yes	□No
(5)	Can another clerical em	ployee assume the duties of a c	clerical employee who is abso	ent? N/A	Yes	□No
b. Is th	ne Office Services Super	visor (OSS) effective? //	A CONLY 1 C	LERICAL	☐ Yes	□No
(1)	Does he/she properly ap	pply management philosophies	and supervisory skills?	1	☐ Yes	□No
	(a) Does he/she have t	he authority and backing neces	sary to effectively supervise	subordinates?	☐Yes	□No
	(b) Is the clerical super	visor an effective manager?			☐Yes	□No
(2)	Does the OSS identify e	mployes with supervisory poten	ntial?		☐ Yes	□No
	(a) Does he/she assist development?	employees in the preparation o	f written plans for progressiv	e career	☐ Yes	□No
	(b) Have special interest been afforded the e	sts been identified and education employees?	onal opportunities and/or dep	artmental training	Yes	□No
		ndividual Development Plan for ed to identify particular strength		Permanent	☐ Yes	□No
(3)	Does the supervisor set	a good example?			☐Yes	□ No
	(a) Does he/she show a	a willingness to assist subordina	ate personnel?		Yes	□No
	(b) Does he/she know v	when to act, when to delegate, a	and when to refer to a super	visor?	[] Yes	□No
(4)	If there is more than one	OSS, is the work and supervis	ion evenly distributed?	4	☐ Yes	□No
(5)	Does the OSS participat	e in Area staff meetings?	OT DOES		Yes	□ No

OFFICE MANAGEMENT

2.	FILING SYSTEM	EVALUATED Yes	ACTION REQUIRED	CORRECTE	3			
(Is the Area's filing system in compliance with departmental							
	File Guide?	garaemies semanies	The Grant of the G	✓ Yes	□No			
ł	b. Are other files, i.e., permanent files, enforcement documen	t files, etc., maintained	according to policy?	✓ Yes	□No			
	(1) How far back are accident reports being maintained?	Current year plus 4						
	(2) Is there a filing backlog?			Yes	✓ No			
	(3) Is there evidence of recent office review?	71		✓ Yes	□No			
	(4) How are Management and All Commanders Memoran							
	The OT is responsible for filing the documents in a bi	sible for filing the documents in a binder and purging them in accordance with Departmen						
	(5) Are Training and Information Bulletins filed?			✓ Yes	□No			
	(a) If so, how are they located? They are maintain	(a) If so, how are they located? They are maintained in a binder in the command library						
	(6) Do all clerical employees understand the filing system	?		✓ Yes	□No			
	(7) Does the Area have an effective suspense system?			✓ Yes	□No			
	(a) Do all supervisors take advantage of the suspense		□No					
C.	c. Are personnel files properly secured and access limited?	✓ Yes	□No					
	(1) Are the requirements of the Information Practices Act to	✓ Yes	□No					
	(2) Is a periodic review done on a regular basis?			Yes	□No			
	(a) If so, how often? Annually by a supervisor							
	(3) Is annual employee review and updating conducted as	required?		√ Yes	□No			
	(4) Are only required or permitted items contained in person	onnel folders?			□No			
3. S	SECURITY OF CRIMINAL RECORDS	EVALUATED Yes	ACTION REQUIRED	CORRECTE				
а	 Have employees who have access to criminal offender reco stating they understand the regulations and policies pertain 	ord information signed ing to these records?	an acknowledgment	Z □ Yes	☑ No			
	(1) Has the Area designated a specific person to release of	riminal offender record	information?	✓ Yes	□No			
	(a) Do any other persons release this information?	LL INFO RELEA	SED BY VCC	Yes	✓ No			
-	(b) Has the designated person completed the required	d training?		Yes	✓ No			
	(c) Are safeguards in place to verify telephone inquirie	es prior to disclosure?		√ Yes	□No			
	(2) Does each person that is designated to release information Release Log?	ation maintain a CHP 2	63B, Criminal Offender	✓ Yes	□No			
-73	(a) Are entries maintained for the prescribed period of	time?		Yes	☐ No			
4. F	ISCAL PROCEDURES	EVALUATED Yes	ACTION PEQUIRED	CORRECTE)			
- а	Have discrepancies on the most current audit reports been		1.10	✓ Yes	□No			
-								

OFFICE MANAGEMENT

(1) A	re all change fund and collections handled and processed according to policy?	Yes	□No
()	a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	✓ Yes	□ No
(1)	b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? AREA DOES NO DO DL45'S	☐ Yes	✓ No
((s) Is there a separation of duties between cashier responsibilities and transmittal of collections?	Yes	✓No
((d) Are collections and change funds safeguarded?	Yes	□No
(+	e) Are checks promptly endorsed and cash receipts reconciled daily?	√ Yes	□No
(1	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	✓ Yes	□No
((y) What specific guidelines are in place for security control and accountability?		
	Collections and funds are locked and secured overnight and only trained personnel handle this duty		
(1)	n) Is a supervisor responsible for review of the system?	✓ Yes	□ No
(i	Do total collections agree with the total amount of counter receipts and DL45s issued?	Yes	□No
(j	Are counter receipts and transmittal records prepared properly?	Yes	□No
(}	Are surprise counts of funds performed and documented by the commander or designee?	√ Yes	□No
(2) A	re security and accountability procedures in place for the petty cash fund?	✓ Yes	□No
(2	l) Is the petty cash fund used only for authorized purchases within the limited amount?	Yes	□No
(k) Are valid authorizations on file?	√ Yes	□No
(0	ls a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	☐ Yes	✓ No
(c) Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	□No
(€) Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
(3) A	re X-Number services proper and within departmental and state policy?	✓ Yes	□No
(2) Are services procured over \$4,999.99?	Yes	✓ No
(b) Is the amount limit circumvented by splitting procurements?	Yes	√ No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	□No
(d) Do invoices itemize charges and reference X-Numbers?	✓ Yes	□No
(4) A	re bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□No
(а) Are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	□No
(b	Are purchases within established policy?	✓ Yes	□No
(c	Are three price quotations obtained and documented on a CHP 315X?	√ Yes	□No
(d) Is the bank card log completed properly?	√ Yes	□ No

OFFICE MANAGEMENT

		(e)	Are invoices and CHP 317, CAL-Card Log, review	ved by a supervisor?			Yes	□No
		(f)	Is there a reconciliation of the monthly bank card s	tatement, and does it	have su	pervisory approval?	✓ Yes	□No
b	. WI	hat c	controls does the commander have in place to ensur	e timely transmittals o	of monies	\$?		
	l'r	ansn	mittals are in the weekly suspense file.					
	(1)		e collections sent to Fiscal Management Section at t 0,000 total collections, or at the close of business ea		\$1,000 i	in cash and	✓ Yes	□No
	(2)		e monies received for DL45s, California Special Drividence, etc., handled appropriately by coordinating to				✓ Yes	□No
	(3)	Ar	re "no collection" transmittals sent when appropriate	?			✓ Yes	□No
	(4)	Do	o tire sale transactions comply with policy?				✓ Yes	□No
С	. Is s	secu	rity of the postage machine adequate?				✓ Yes	□No
	(1)	ls t	the machine locked when not in use?				✓ Yes	□No
	(2)	ls t	the meter reading documented as required?				✓ Yes	□No
	(3)		there documentation of monies refunded or forwarde stage machine is being repaired or replaced?	ed to Fiscal Managem	ent Sect	ion when the	✓ Yes	□ No
s. s	UPPLY REQUISITIONS (CHP 41) EVALUATED Yes NO						CORRECT	
а	Are requisitions prepared properly?						✓ Yes	□No
	(1)	Wh	no prepares them? Office Tech					
	(2)	Ha	s a practical stock level been established and maint	ained?			✓ Yes	□No
	(3)	ls t	there a system that notifies the staff when the quarte	erly requisition is going	g to be p	repared?	✓ Yes	□No
		(a)	Is the quarterly requisition period for this command	d adhered to?			✓ Yes	□No
		(b)	Is there a high number of emergency requisitions?)			☐ Yes	✓ No
b.	Are	e iten	ns stored properly in a storeroom?				✓ Yes	□No
	(1)	Is t	here convenient access for regularly used items?				✓ Yes	□No
	(2)	Hav	ve obsolete items been removed?				✓ Yes	□No
. s	UPPL	LIES		Yes Yes		NO REQUIRED	CORRECTED	,
a.	Are	all c	cameras assigned to the command accounted for?			1,522	✓ Yes	□No
	(1)	Are	e camera cases clean and do they contain the requir	ed accessories?			✓ Yes	∐ No
2.70	(2)	Is c	camera maintenance assigned to a particular individ	ual?			✓ Yes	□No
		(a)	What is his/her preventative maintenance schedule	e? cameras are chec	cked ann	ually at inventory time	e.	
		-	extenders assigned to the command accounted for?					□No

OFFICE MANAGEMENT

	(1)) Is there adequate security for extender batt	teries and other	supplies?			□No		
7.	OFFIC	CE EQUIPMENT		Yes Yes	ACTION REQUIRED	COKPECT	,		
	a. Ar	re office machines in good condition and prop	erly maintained?	?		✓ Yes	□No		
-	(1)) Is the vendor complying with maintenance	contract provisio	ons?		✓ Yes	□No		
	(2)) Is there a shortage or surplus of machines?	?			Yes	✓ No		
	b. Is	the Management Information System (MIS) u	sed properly?			✓ Yes	□No		
	(1)) Who is authorized to use the equipment?	Management &	& Clerical					
	(2)) How is training provided, and by whom?	How is training provided, and by whom? Area has a certified instructor to conduct annual and new						
	(3)	Is there a usage schedule for uniformed an	d nonuniformed	personnel?		☐Yes	✓ No		
	(4)	Are there controls in place to ensure confid	entiality?				□No		
	(5)	Are all personnel aware of how to request r	epairs after norr	mal business hour	s?	✓ Yes	□No		
	(6)	Is the MIS used to send messages to other	offices in lieu of	f formal memorand	dums?	✓ Yes	□No		
	(7) V	What system is used to ensure proper routing	of MIS informat	tion?					
	с. Аге	e personal computers used properly?				✓ Yes	□No		
	(1)	Who is authorized to use the equipment?	All Personnel						
	(2)	How is training provided, and by whom?	s needed						
		(a) How many employees are trained in its	use? All Perso	nnel					
	(3)	Are there restrictions on the time its used?				☐ Yes	☑ No		
		(a) Is there a schedule for uniformed and r	nonuniformed er	nployees?		Yes	✓ No		
	(4)	Is confidential or sensitive information being	stored on a PC	hard drive?		✓ Yes	□No		
		(a) If so, is the PC password protected?				✓ Yes	□No		
		(b) Is confidential or sensitive information secure area?	stored on disks,	CDs, or removabl	e drives kept in a	√ Yes	□No		
	(5)	What is the PC being used for? To perfor	m all Departme	ental functions/tasl	(S				
	(6)	Are controls present to prevent inappropriat	e/personal use	of the computer?		✓ Yes	□No		

AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

	(7)	Are backup procedures being performed on a regula	ar basis?		✓ Yes	□No
		(a) Where applicable, are backup disks stored in a		✓ Yes	□No	
	(8)	Are PC manuals and other documentation available	to all users?		✓ Yes	□No
	(9)	What procedures are in place to ensure out-of-date	ourged?			
		Files are routinely reviewed and purged. All person	nnel are reminded to revie	w their files and delete old	files as neede	d.
-	(10	o) Are employees aware of the availability of assistanc	e in resolving computer re	lated problems?	✓ Yes	□ No
(11) Is anti-virus software regularly utilized on all state-owned PCs?						☐ No
. PI	PUBLIC CONTACTS EVALUATED ACTION REQUIRED No				CORRECTE)
a.	Do	√ Yes	□No			
(1) If so, are they adequate and effective?						□No
b.	Are	e persons served promptly and courteously?			✓ Yes	□No
	(1)	Are backup personnel immediately available?			✓ Yes	□No
	(2)	Is telephone service both efficient and effective?			✓ Yes	□No
	(3)	Are limited duty personnel used for receptionist dutie	es and answering telephor	nes?	✓ Yes	□No
	(4)	Are officer substitutions for nonuniformed positions l	kept at a minimum?		√ Yes	□No
S	СНО	OL BUS DRIVER EXAMINATIONS	No N/A	ACTION REQUIRED	CORRECTE)
a.		school bus driver testing a special duty or a clerical fur signed?	nction, or is a full-time sch	ool bus coordinator		
	(1)	Are tests and test keys kept in a secure place?		·	☐ Yes	□No
	(2)	How are interested parties advised of testing proced	ures?			
		(a) Are exams graded in the presence of the applic	ant, and missed questions	s discussed?	☐Yes	□No
		(b) Does the officer or coordinator take possession	of the test and dispose of	accordingly?	☐Yes	□No
	(3)	How are test disposed of?				
	(4)	Is there a specific date and time set saids for testing	2		[] V	□ Ma
		Is there a specific date and time set aside for testing	EVALUATED	ACTION REQUIRED	☐ Yes	☐ No
). C	OUR	RT INFORMATION PROCEDURES	Yes	No		

OFFICE MANAGEMENT

(1)) Wh	nat controls are in place to ensure officers appear in co				
		ficer & Sgt sign each subpoena, court info is logged or		poena is put in suspense.	Sgt does month	ly audit
	_	bpoenae to insure attendance.				
	(a)	How are appearances minimized following cancellation	ons?			
		Officers are notified ASAP during business hours.				
	(b)	How are "short notice" cancellations minimized?				
		Officers are notified ASAP during business hours.				
(2)		e CHP 90s, Report of Court Appearance - Civil Action, p	properly distributed	and completed on all		ΓÌΝο
	appropriate cases?					-
(3)	vvn	no is responsible for managing the process? The Sgt		anatharia trod: monona t	he CHP 90 prod	1088
		The self	and the OT Work to	ogether to track manage t		2/2/2/1
		Are court officers performing duties that could be han			☐Yes	√ No
, DEP	(a)					☑ No
	(a) ARTN	Are court officers performing duties that could be han	dled by clerical pers	sonnel?	☐Yes	☑ No
a. Are	(a) ARTI e the	Are court officers performing duties that could be han	dled by clerical pers	sonnel?	☐ Yes	☑ No
а. Аге	(a) ARTM e the Are	Are court officers performing duties that could be han MENTAL MANUALS number of authorized libraries being maintained?	dled by clerical pers	sonnel?	☐ Yes CORRECTE ✓ Yes ✓ Yes	☑ No □ No
a. Are	(a) ARTM e the Are	Are court officers performing duties that could be han MENTAL MANUALS number of authorized libraries being maintained? e the libraries convenient for those who must use them?	dled by clerical pers	ACTION PEQUIRED NO	☐ Yes CORRECTE ✓ Yes ✓ Yes	☑ No □ No
a. Are	(a) ARTM e the Are (a)	Are court officers performing duties that could be han MENTAL MANUALS number of authorized libraries being maintained? e the libraries convenient for those who must use them? What controls are in place for "loaning" manuals to er	dled by clerical pers Yes range ran	ACTION PEQUIRED NO	☐ Yes CORRECTE ✓ Yes ✓ Yes	☑ No □ No
a. Are	(a) ARTM e the Are (a)	Are court officers performing duties that could be han MENTAL MANUALS number of authorized libraries being maintained? e the libraries convenient for those who must use them? What controls are in place for "loaning" manuals to er encouraged to use the on-line manuals.	dled by clerical pers EVALUATED Yes ? mployees? manua	ACTION PEQUIRED NO	☐ Yes CORRECTES ☑ Yes ☑ Yes ☑ Yes ☑ Hity, Employe	☑ No ☐ No ☐ No es are
a. Are	(a) ARTM e the e the (a) Are (a)	Are court officers performing duties that could be han MENTAL MANUALS number of authorized libraries being maintained? e the libraries convenient for those who must use them? What controls are in place for "loaning" manuals to er encouraged to use the on-line manuals.	dled by clerical pers EVALUATED Yes nployees? manual ly identified? ufficient with 2	ACTION PEQUIRED NO	☐ Yes CORRECTES ☑ Yes ☑ Yes ☑ Yes ☑ Hity, Employe	☑ No ☐ No ☐ No es are
a. Are (1)	(a) ARTM e the e the (a) Are (a) (b)	Are court officers performing duties that could be han MENTAL MANUALS number of authorized libraries being maintained? e the libraries convenient for those who must use them? What controls are in place for "loaning" manuals to er encouraged to use the on-line manuals. e publications distinctively marked so they can be reading the number of libraries excessive or sufficient? S	dled by clerical pers EVALUATED Yes nployees? manual ly identified? ufficient with 2	ACTION PEQUIRED NO	☐ Yes CORRECTE ✓ Yes ✓ Yes Ellity, Employe	✓ No ☐ No ☐ No es are ☐ No

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER
Buellton	Coastal	755
EVALUATED BY		DATE
Lt. M. Maples/C	A P. Cota/Sgt. T. Mullen	12/02/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVA		□ Info	rmal Evaluation		SUSPENSE DATE			
COLLOWING BEOLIBED				12/31/2010 COMMANDER'S REVIEW		DATE		
✓ Yes	□No		Correction Report	:		•		
V Tes			BY		Lt. Marty Maples	S	12/10/20	09
1. CLER	ICAL TASKS	3			12/02/2009	ACTION REQUIRED Ves	CORRECTED	
a Isi	the office we	I organized?			12/02/2007	J V C 3	✓ Yes	
-		ritten job de:					✓ Yes	□No
				at their deal	٠,0			□ No
			nave their job descriptior				✓ Yes	
	(b) Does	clerical staff (understand what is expe	cted of them	? 		✓ Yes	□ No
(2)	Are similar	activities gro	ouped together to promo	te efficiency?			✓ Yes	□No
(3)	If tape reco	rders are us	ed, can clerical employe	es transcribe	e effectively?		☐ Yes	☑ No
(4)			ledgeable in the use of	personal con	nputers, filing requ	irements, information	□ Vaa	
	security, et						✓ Yes	□ No
			ployee assume the dutie	es of a clerica	al employee who is	s absent?	✓ Yes	□ No
b. Is 1	the Office Se	rvices Super	visor (OSS) effective?				☐ Yes	☑ No
(1)	Does he/sh	e properly ap	pply management philos	ophies and s	supervisory skills?		Yes	☑ No
	(a) Does l	ne/she have t	the authority and backin	g necessary	to effectively supe	rvise subordinates?	☐ Yes	☑ No
	(b) Is the	clerical super	visor an effective mana	ger?			Yes	☑ No
(2)	Does the C	SS identify e	employes with superviso	ry potential?			☐Yes	☑ No
		ne/she assist opment?	employees in the prepa	ration of writ	ten plans for progr	ressive career	☐Yes	☑ No
		pecial intere afforded the e	sts been identified and e employees?	educational o	pportunities and/o	r departmental training	□Yes	☑ No
			ndividual Development sed to identify particular			ce of Permanent	☐Yes	☑ No
(3)	Does the s	pervisor set	a good example?				☐ Yes	☑ No
	(a) Does h	e/she show	a willingness to assist s	ubordinate pe	ersonnel?		☐ Yes	✓ No
	(b) Does h	e/she know	when to act, when to de	legate, and v	vhen to refer to a s	supervisor?	☐ Yes	☑ No
(4)	If there is n	ore than one	e OSS, is the work and s	supervision e	venly distributed?		☐ Yes	✓ No
(5)	Does the C	SS participat	te in Area staff meetings	5?			✓ Yes	□No

2. F	ILING SYSTEM	12/02/2009	no	CORRECTED	
a.	. Is the Area's filing system in compliance with departmental g File Guide?	guidelines contained in l	HPG 11.1, Field Office	✓ Yes	□No
b.	Are other files, i.e., permanent files, enforcement document	files, etc., maintained a	ccording to policy?		□No
	(1) How far back are accident reports being maintained? 3	years + current year			
	(2) Is there a filing backlog?			☐ Yes	☑ No
	(3) Is there evidence of recent office review?			☐ Yes	☑ No
	(4) How are Management and All Commanders Memorand	ums filed and purged?	filed per HPM 11.1 and p	ourged annual	ly.
	(5) Are Training and Information Bulletins filed?			✓ Yes	□No
	(a) If so, how are they located? filed/maintained in	command library.			
	(6) Do all clerical employees understand the filing system?			✓ Yes	□No
	(7) Does the Area have an effective suspense system?			✓ Yes	□No
	(a) Do all supervisors take advantage of the suspense	system?		✓ Yes	□No
C.	Are personnel files properly secured and access limited?			√ Yes	□No
	(1) Are the requirements of the Information Practices Act be	eing followed?		✓ Yes	□No
	(2) Is a periodic review done on a regular basis?			✓ Yes	□No
	(a) If so, how often? monthly				
	(3) Is annual employee review and updating conducted as	required?		✓ Yes	□No
	(4) Are only required or permitted items contained in person	nnel folders?		✓ Yes	□No
SE	ECURITY OF CRIMINAL RECORDS	12/02/2009	no ACTION REQUIRED	CORRECTED)
a.	Have employees who have access to criminal offender reco stating they understand the regulations and policies pertaining		acknowledgment	✓ Yes	□No
	(1) Has the Area designated a specific person to release cr	iminal offender record in	nformation?	✓ Yes	□No
	(a) Do any other persons release this information?			☐Yes	☑ No
	(b) Has the designated person completed the required	training?		✓ Yes	□No
	(c) Are safeguards in place to verify telephone inquiries	s prior to disclosure?		✓ Yes	□No
	(2) Does each person that is designated to release information Release Log?	tion maintain a CHP 26	BB, Criminal Offender	✓ Yes	□No
	(a) Are entries maintained for the prescribed period of	time?		✓ Yes	□No
FIS	SCAL PROCEDURES	12/02/2009	ACTION REQUIRED yes	CORRECTED)
a.	Have discrepancies on the most current audit reports been of	corrected?		✓ Yes	□No

(1)	Are	e all change fund and collections handled and processed according to policy?	✓ Yes	□No
	(a)	Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	✓ Yes	□No
	(b)	Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	□Yes	☑ No
	(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	☐ Yes	☑ No
	(d)	Are collections and change funds safeguarded?	✓ Yes	□No
	(e)	Are checks promptly endorsed and cash receipts reconciled daily?	✓ Yes	□No
	(f)	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	✓ Yes	□No
	(g)	What specific guidelines are in place for security control and accountability? quarterly audits/counter re	eceipts are	locked in
		secure location.		
	(h)	Is a supervisor responsible for review of the system?	✓ Yes	□No
	(i)	Do total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□No
	(j)	Are counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k)	Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	□No
(2)	Are	security and accountability procedures in place for the petty cash fund?	✓ Yes	□No
	(a)	Is the petty cash fund used only for authorized purchases within the limited amount?	✓ Yes	□No
	(b)	Are valid authorizations on file?	☐ Yes	✓ No
	(c)	Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	□Yes	☑ No
	(d)	Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	□No
	(e)	Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
(3)	Are	X-Number services proper and within departmental and state policy?	✓ Yes	□No
	(a)	Are services procured over \$4,999.99?	☐ Yes	☑ No
	(b)	Is the amount limit circumvented by splitting procurements?	☐ Yes	☑ No
	(c)	Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	□No
	(d)	Do invoices itemize charges and reference X-Numbers?	✓ Yes	□No
(4)	Are	bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□No
	(a)	Are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	□No
	(b)	Are purchases within established policy?	✓ Yes	□No
	(c)	Are three price quotations obtained and documented on a CHP 315X?	☐Yes	☑ No
	(d)	Is the bank card log completed properly?	✓ Yes	□No

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

	(e) Are invoices ar	nd CHP 317, CAL-Card Log, reviewed	d by a supervisor?		✓ Yes	□No
	(f) Is there a recor	ciliation of the monthly bank card sta	tement, and does it hav	e supervisory approval?	✓ Yes	□No
b	. What controls does the	commander have in place to ensure t	imely transmittals of mo	onies? none		
		to Fiscal Management Section at the tions, or at the close of business each		000 in cash and	✓ Yes	□No
		d for DL45s, California Special Driver lled appropriately by coordinating tran			✓ Yes	□No
	(3) Are "no collection"	ransmittals sent when appropriate?			✓ Yes	□ No
	(4) Do tire sale transac	tions comply with policy?			✓ Yes	□No
C.	. Is security of the postag	e machine adequate?			✓ Yes	□No
	(1) Is the machine lock	ed when not in use?			☐Yes	✓ No
	(2) Is the meter reading	documented as required?			✓ Yes	□No
		tion of monies refunded or forwarded being repaired or replaced?	to Fiscal Management	Section when the	□Yes	☑ No
5. S	UPPLY REQUISITIONS (CHP 41)	12/02/2009	ACTION REQUIRED	CORRECTED)
a.	Are requisitions prepare	d properly?			✓ Yes	□No
	(1) Who prepares them	? OA				
	(2) Has a practical stoc	k level been established and maintair	ned?	7770-7-1-1-1-1	✓ Yes	□No
	(3) Is there a system th	at notifies the staff when the quarterly	y requisition is going to	be prepared?	✓ Yes	□No
	(a) Is the quarterly	requisition period for this command a	adhered to?		✓ Yes	□No
	(b) Is there a high	number of emergency requisitions?			✓ Yes	□No
b.	Are items stored properl	y in a storeroom?			✓ Yes	□No
	(1) Is there convenient	access for regularly used items?			✓ Yes	□No
	(2) Have obsolete items	s been removed?			✓ Yes	□No
6. S	UPPLIES		12/02/2009	no REQUIRED	CORRECTED)
a.	Are all cameras assigne	d to the command accounted for?			✓ Yes	□No
	(1) Are camera cases of	lean and do they contain the required	d accessories?		✓ Yes	□No
	(2) Is camera maintena	nce assigned to a particular individua	1?		✓ Yes	□No
	(a) What is his/her	preventative maintenance schedule?	no specific maintena	nce schedule/equipment is	repaired as	needed.
b.	Are all extenders assigned	ed to the command accounted for?			✓ Yes	□No

Department of California Highway Patrol AREA MANAGEMENT EVALUATION Chapter 5 OFFICE MANAGEMENT	Area San Luis Obispo	Division Coastal	Number 745
	Evaluated By Lt.	C. Day	Date 11/24/09

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed in the Summary Statement. The Summary Statement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Summary can be handwritten if desired.

Type of Evaluation					
☐ Formal	Informal	Suspense Date			
Follow-up Required ⊠Yes □No	⊠Correction Report by	Commander's F	Review	/2	-29-05 Date
1. CLERICAL TASKS		Evaluated	Action Required	Correct	ted
a. Is the office well-orga	anized?		(⊠Yes	□No
(1) Are there written j ⊠ Yes □No	ob descriptions?				
(a) Does clerical st	aff have their job descrip	tion at their desk?)	⊠Yes	□No
(b) Does clerical st	aff understand what is ex	pected of them?		⊠Yes	□No
(2) Are similar activition	es grouped together to pr	omote efficiency	?	⊠Yes	□No
(3) Are stenographers	s available for dictation?			□Yes	⊠No
(a) Are supervisors	or special duty officers t	rained to give dic	tation?	∐Yes	⊠No
(4) If tape recorders are used, can clerical employees transcribe effectively?				⊠Yes	□No
	knowledgeable in the us formation security, etc.?	e of personal cor	nputers,	⊠Yes	□No
b. Is the Office Services	Supervisor (OSS) effect	tive?		⊠Yes	□No
(1) Does he/she propsupervisory skills?	erly apply management p	hilosophies and		⊠Yes	□No
(a) Does he/she ha effectively supervis	ve the authority and backe subordinates?	king necessary to		⊠Yes	□No
(b) Is the clerical su	pervisor an effective ma	nager?		⊠Yes	□No
(2) Does the OSS identify employees with supervisory potential?					□No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?					□No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?					□No
CHP 453E (Rev 1-96)					Page 1

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

	(1)	W	nat controls are in place to ensure officers appear in court	? Continuous monitori	ng by court officer and c	uarterly au	ıdit by
		ass	signed supervisor.				
		(a)	How are appearances minimized following cancellations	? Employees are imme	ediately notified of cance	ellations by	telephone.
21			Notifications of cancellations are then logged.				
		(b)	How are "short notice" cancellations minimized? Same	as above. Court is awa	re of CHP policy.		
	(2)		CHP 90s, Report of Court Appearance - Civil Action, propriate cases?	perly distributed and cor	npleted on all	✓ Yes	□No
	(3)	Wh	o is responsible for managing the process? Court office	cer and assigned supervi	sor.		
		(a)	Are court officers performing duties that could be handle			✓ Yes	□No
11. [)EP/	ART	MENTAL MANUALS	12/02/2009	ACTION REQUIRED NO	CORRECTED	
a.	Are	the	number of authorized libraries being maintained?			✓ Yes	□No
	(1)	Аге	the libraries convenient for those who must use them?			✓ Yes	□No
		(a)	What controls are in place for "loaning" manuals to empl	oyees? None			
	(2)	Are	publications distinctively marked so they can be readily in	dentified?		✓ Yes	□No
		(a)	Are the number of libraries excessive or sufficient? Suff	icient			
		(b)	Is there a listing available of what should be in each libra	ıry?		✓ Yes	□No
	(3)	_	publications kept up-to-date?			✓ Yes	□No
	(4)	Who	of files publication changes? OA and OSSI				
		_					

(c) Has the CHP 118A been used to identify particular strengths					
of the employees?	⊠Yes	□No			
(3) Does the supervisor set a good ex	⊠Yes	□No			
(a) Does he/she show a willingness	to assist subordinate	e personnel?	⊠Yes	□No	
(b) Does he/she know when to act, refer to a supervisor?	when to delegate, ar	nd when to	⊠Yes	□No	
(4) If there is more than one OSS, is t evenly distributed?	he work and supervis	sion	□Yes	⊠No	
(5) Does the OSS participate in Area	staff meetings?		⊠Yes	□No	
2. FILING SYSTEM	Evaluated	Action Required ⊠	Corrected		
a. Is the Area's filing system in complian guidelines contained in HPG 11.1?	nce with departmenta	I	⊠Yes	□No	
b. Are other files, i.e., permanent files, e files, etc., maintained according to policy		nt	⊠Yes	□No	
(1) How far back are accident reports	being maintained? (Current plus three ye	ars		
(2) Is there a filing backlog?			□Yes	⊠No	
(3) Is there evidence of recent office review?				□No	
(4) How are Management and All Conto date. They are purged every	nmanders Memorand	lums filed and purge	d? Filed acc	ording	
four years when the administrative file	es are purged.				
(5) Are Training and Information Bulle	tins filed?		⊠Yes	□No	
(a) If so, how are they located? File	ed in a binder behind	the OSS I desk.			
(6) Do all clerical employees understa	nd the filing system?		⊠Yes	□No	
(7) Does the Area have an effective s	uspense system?		⊠Yes	□No	
(a) Do all supervisors take advanta	ge of the suspense s	ystem?	⊠Yes	□No	
c. Are personnel files properly secured a	and access limited?		⊠Yes	□No	
(1) Are the requirements of the Information Practices Act being followed?				□No	
(2) Is a periodic review done on a regu	ular basis?		⊠Yes	□No	
(a) If so, how often? Quarterly by C)\$\$ I				
(3) Is annual employee review and up	dating conducted as	required?	∐Yes	⊠No	
(4) Are only required or permitted item	s contained in perso	nnel folders?	⊠Yes	□No	

3. SECURITY OF CRIMINAL RECORDS	Evaluated	Action Required	Corrected		
a. Have employees who have access to signed an acknowledgement stating the policies pertaining to these records?	⊠Yes	□No			
(1) Has the Area designated a specific offender record information?	c person to release c	riminal	 ⊠Yes	□No	
(a) Do any other persons release the	nis information?		⊠Yes	□No	
(b) Has the designated person com	pleted the required t	raining?	⊠Yes	□No	
(c) Are safeguards in place to verify prior to disclosure?	telephone inquiries		⊠Yes	□No	
(2) Does each person designated to reach a CHP 263B log?	elease information m	aintain	⊠Yes	□No	
(a) Are entries maintained for the p	rescribed period of ti	me?	⊠Yes	□No	
4. FISCAL PROCEDURES	Evaluated 🖂	Action Required	Corrected		
a. Have discrepancies on the most curr	ent audit reports bee	n corrected?	∐Yes	⊠No	
(1) Are all change fund and collections according to policy?	s handled and proces	ssed	⊠Yes	□No	
(a) Are counter receipts and DL45s and safeguarded?	issued to the field a	ocounted for	⊠Yes	□No	
(b) Are "voided" or "no fee" DL45s and forwarded to Accounting Section		ned by the command	er, ⊠Yes	□No	
(c) Is there a separation of duties b and transmittal of collections?	etween cashier respo	onsibilities	⊠Yes	□No	
(d) Are collections and change fund	ls safeguarded?		⊠Yes	□No	
(e) Are checks promptly endorsed a	and cash receipts rec	conciled daily?	⊠Yes	□No	
(f) Are counter receipts and DL45s for and returned to Accounting Sec			⊠Yes	□No	
(g) What specific guidelines are in page kept locked and secured in	place for security cor	trol and accountabili	ty? Petty cas	sh is	
filing cabinet with only access to the front counter with access to	ne OSS I. Change fu	ınd is kept locked in a	a drawer at th	ne	
all office personnel during busines	s hours and locked a	after hours.			
(h) Is a supervisor responsible for review of the system?					
(i) Do total collections agree with th and DL45s issued?	e total amount of cou	inter receipts	⊠Yes	□No	
(j) Are counter receipts and transmi	ttal records prepared	d properly?	⊠Yes	□No	
(k) Are surprise counts of funds per commander or designee?	formed and docume	nted by the	⊠Yes	□No	

(2) Are security and accountability procedures in place for the petty cash fund?	⊠Yes	□No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	⊠Yes	□No
(b) Are valid authorizations on file?	⊠Yes	□No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	⊠Yes	□No
(d) Are there adequate procedures to ensure purchases are properly authorized	?⊠Yes	□No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	⊠Yes	□No
(3) Are X-Number services proper and within departmental and state policy?	⊠Yes	□No
(a) Are services procured over \$1,000?	⊠Yes	□No
(b) Is the amount limit circumvented by splitting procurements?	□Yes	⊠No
(c) Are three price quotations obtained and documented on a CHP 78X?	⊠Yes	□No
(d) Do invoices itemize charges and reference X-Numbers?	⊠Yes	□No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	⊠Yes	□No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	⊠Yes	□No
(b) Are purchases within established policy?	⊠Yes	□No
(c) Are three price quotations obtained and documented on a CHP 315X?	⊠Yes	□No
(d) Is the bank card log completed properly?	⊠Yes	□No
(e) Are invoices and CHP 315Xs reviewed by a supervisor?	⊠Yes	□No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	⊠Yes	□No
b. What controls does the commander have in place to ensure the timely transmittals of monies is being made? The transmittal is completed weekly, signed b commander, and submitted to FMS.	y the	
(1) Are collections sent to Accounting Section at the first occurrence of \$200 (or \$500) in cash and \$5,000 total collections, or at the close of business each Thursday?	⊠Yes	□No
(2) Are monies received for DL45s, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	⊠Yes	□No

OFFICE MANAGEMENT

	(1)	Is there adequate security for extender batteries and other si	upplies?		✓ Yes	□No
7. (OFFIC	CE EQUIPMENT	12/02/2009	yes	CORRECTED	
a	a. Ar	e office machines in good condition and properly maintained?			✓ Yes	□No
	(1)	Is the vendor complying with maintenance contract provision	s?		✓ Yes	□No
	(2)	Is there a shortage or surplus of machines?			☐Yes	☑ No
b	. Is	the Management Information System (MIS) used properly?			✓ Yes	□No
	(1)	Who is authorized to use the equipment? OSSI and OA				
	(2)	How is training provided, and by whom? Vender and Div	ision personnel.			
	(3)	Is there a usage schedule for uniformed and nonuniformed p	ersonnel?		☐Yes	☑ No
	(4)	Are there controls in place to ensure confidentiality?			☐Yes	☑ No
	(5)	Are all personnel aware of how to request repairs after normal	al business hours?		☐Yes	✓ No
	(6)	Is the MIS used to send messages to other offices in lieu of f	ormal memorandums?		☐Yes	☑ No
	(7) V	What system is used to ensure proper routing of MIS information	n? OA discretion.			
С	. Are	e personal computers used properly?			✓ Yes	□No
	(1)	Who is authorized to use the equipment? Assigned emplo	yees.			
	(2)	How is training provided, and by whom? One on one and at	briefings by LAN Coor	rdinator.		
		(a) How many employees are trained in its use? All except	custodian.			
	(3)	Are there restrictions on the time its used?		_	Yes	✓ No
		(a) Is there a schedule for uniformed and nonuniformed emp	oloyees?		☐ Yes	☑ No
	(4)	Is confidential or sensitive information being stored on a PC I	nard drive?		☐ Yes	☑ No
		(a) If so, is the PC password protected?			✓ Yes	□No
		(b) Is confidential or sensitive information stored on disks, C secure area?	Ds, or removable drives	s kept in a	✓ Yes	□No
	(5)	What is the PC being used for? Work related use only.				
	(6)	Are controls present to prevent inappropriate/personal use of	the computer?		✓ Yes	□No

	2 (1.01.0 00) 0.1000				
(7) Are backup procedures being performed on a regular basis	?		✓ Yes	□No
	(a) Where applicable, are backup disks stored in a secure	area?		✓ Yes	□No
(8)	Are PC manuals and other documentation available to all u	sers?		✓ Yes	□No
(9	What procedures are in place to ensure out-of-date document	ents and files are pu	rged? None		
3					-
-					
(1	0) Are employees aware of the availability of assistance in res	olving computer rela	ted problems?	✓ Yes	□No
(1	1) Is anti-virus software regularly utilized on all state-owned Po	Cs?		✓ Yes	□No
8. PUBI	LIC CONTACTS	12/02/2009	no no	CORRECTED	
a. D	oes the office have extended office hours?			Yes	☑ No
(1) If so, are they adequate and effective?			☐Yes	□No
b. A	re persons served promptly and courteously?			✓ Yes	□No
(1) Are backup personnel immediately available?			✓ Yes	□No
(2) Is telephone service both efficient and effective?			✓ Yes	□No
(3) Are limited duty personnel used for receptionist duties and	answering telephone	s?	✓ Yes	□No
(4) Are officer substitutions for nonuniformed positions kept at	a minimum?		✓ Yes	□No
9. SCH	OOL BUS DRIVER EXAMINATIONS	12/02/2009	no ACTION REQUIRED	CORRECTED	
	school bus driver testing a special duty or a clerical function, osigned? Assigned as a collateral duty responsibility to a r		ol bus coordinator		
(1)	Are tests and test keys kept in a secure place?			✓ Yes	□No
(2)	How are interested parties advised of testing procedures?	By the assigned co	ordinator.		
	(a) Are exams graded in the presence of the applicant, and	d missed questions of	discussed?	Yes	☑ No
	(b) Does the officer or coordinator take possession of the t	est and dispose of a	ccordingly?	✓ Yes	□No
(3)	How are test disposed of? Office paper shredder.				
(4)	Is there a specific date and time set aside for testing?	-		✓ Yes	□No
10. COU	RT INFORMATION PROCEDURES	12/02/2009	ACTION REQUIRED	CORRECTED)
a. Is	there a systematic method of coordinating court appearance r			✓ Yes	□No

(3) Are "no collection" transmittals se	ent when appropriat	e?	⊠Yes	□No
(4) Do tire sale transactions comply	with policy?		⊠Yes	□No
c. Is security of the postage machine a	adequate?		⊠Yes	□No
(1) Is the machine locked when not	n use?		⊠Yes	□No
(2) Is the meter reading documented	d as required?		⊠Yes	□No
(3) Is there documentation of monies Accounting Section when the postagor replaced?			□Yes	⊠No
5. REQUISITIONS	Evaluated	Action Required	Corrected	
a. Are requisitions prepared properly?			⊠Yes	□No
(1) Who prepares them? Oss I and	WPT (Tina Weller	and Jessica Barrett)		
(2) Has a practical stock level been	established and mai	ntained?	⊠Yes	□No
(3) Is there a system that notifies the requisition is going to be prepared?	e staff when the qua	rterly	⊠Yes	□No
(a) Is the quarterly requisition peri	od for this command	d adhered to?	⊠Yes	□No
(b) Is there a high number of eme	rgency requisitions?)	□Yes	⊠No
(4) Are inventory card files utilized?			□Yes	⊠No
(5) Are the two required inventory lis	tings (CHP and DG	S) utilized?	⊠Yes	□No
(a) Is the CHP 238D used to prep for items from the CHP Supply Ca		ntory listing	∐Yes	⊠No
(b) Is the DGS Material Services of annual inventory listing for items of Supply Catalog?			⊠Yes	□No
(c) Are inventory listings, including a period of four years or until audi Materials Management Unit?			□Yes	⊠No
b. Are items stored properly in a storer	oom?		 ⊠Yes	 □No
(1) Is there convenient access for re		111	 ⊠Yes	 □No
(2) Have obsolete items been remov	ed?		⊠Yes	□No
6. OTHER EQUIPMENT AND SUPPLIES	Evaluated	Action Required	Corrected	
a. Are all cameras assigned to the con	nmand accounted fo	or?	⊠Yes	□No
(1) Are camera cases clean and do t	hey contain the requ	uired accessories?	⊠Yes	□No
(2) Is camera maintenance assigned	l to a particular indiv	ridual?	⊠Yes	□No

Chapter 5 OFFICE MANAGEMENT

-	(a) What is his/her preventative m	naintenance schedule	? As needed		
-					
b	. Are all extenders assigned to the co			⊠Yes —	□No
	(1) Is there adequate security for ex-	tender batteries and o	other supplies?	⊠Yes	□No
7. (DFFICE EQUIPMENT	Evaluated	Action Required	Corrected	
а	Are office machines in good condition	on and properly main	tained?	⊠Yes	□No
	(1) Is the vendor complying with mai	intenance contract pr	ovisions?	⊠Yes	□No
	(2) Is there a shortage or surplus of	machines?		∐Yes	⊠No
b	. Is the Management Information Sys	stem (MIS) used prop	erly?	⊠Yes	□No
	(1) Who is authorized to use the equ	uipment? All office pe	ersonnel		
upd	(2) How is training provided, and by ated as needed.	whom? Training is p	rovided by the OSS I a	at time of hire	e and
	(3) Is there a usage schedule for un	iformed and nonunifo	rmed personnel?	Yes	⊠No
	(4) Are there controls in place to ens	sure confidentiality?		⊠Yes	□No
	(5) Are all personnel aware of how to business hours?	o request repairs afte	r normal	⊠Yes	□No
	(6) Is the MIS used to send message formal memorandums?	es to other offices in	lieu of	□Yes	⊠No
stafi	(7) What system is used to ensure properties to office staff	proper routing of MIS	information? Distribut	ted from com	mand
C.	Are personal computers used prope	erly?		⊠Yes	□No
	(1) Who is authorized to use the equ	uipment? All personn	el		
ners	(2) How is training provided, and by connel depending on need.	whom? Annual traini	ing for CLETS, as nee	eded training	for all
рега	official depending of ficed.				
	(a) How many employees are train	ned in its use? All	· · · · · · · · · · · · · · · · · · ·		
	(3) Are there restrictions on the time	its used?		∐Yes	⊠No
	(a) Is there a schedule for uniform	ned and nonuniforme	d employees?	∐Yes	⊠No
	(4) Is confidential or sensitive inform PC hard disk?	ation being stored or	ı a	⊠Yes	□No
	(a) If so, is the PC password prote	ected?		⊠Yes	□No

(5) What is the PC being used for? Accident reports, arrest reports, time keeping, memorandums etc. (6) Are controls present to prevent inappropriate/personal use of the computer? Yes
the computer? Yes
the computer? Yes
(a) Are backup disks stored in a secure area?
(8) Are PC manuals and other documentation available to all users? (9) What procedures are in place to ensure out-of-date documents and files are purged? Automatic purging via the LAN system (10) Are employees aware of the availability of assistance in resolving computer related problems? (11) Is anti-virus software regularly utilized on all state-owned PCs?
(9) What procedures are in place to ensure out-of-date documents and files are purged? Automatic purging via the LAN system (10) Are employees aware of the availability of assistance in resolving computer related problems? (11) Is anti-virus software regularly utilized on all state-owned PCs?
and files are purged? Automatic purging via the LAN system (10) Are employees aware of the availability of assistance in resolving computer related problems? (11) Is anti-virus software regularly utilized on all state-owned PCs? □ Yes □ N
resolving computer related problems? (11) Is anti-virus software regularly utilized on all state-owned PCs? Yes N Yes N
resolving computer related problems? (11) Is anti-virus software regularly utilized on all state-owned PCs? Yes N Yes N
resolving computer related problems? (11) Is anti-virus software regularly utilized on all state-owned PCs? Yes N Yes N
9 ATTITUDE OF MONIHINEODMED Evaluated Action Populated Corrected
8. ATTITUDE OF NONUNIFORMED Evaluated Action Required Corrected
 Based on personal observation and discussion with staff, what is the attitude of nonuniformed personnel? They are happy.
b. What are the personal appearances of the nonuniformed employees? Professional and appropriate.
(1) Do employees interact well together?
c. What is the attitude of the members of the office staff toward their job responsibilities? Happy with their responsibilities, willing to help each other accomplish various tasks, and take their jobs seriously.
9. PUBLIC CONTACTS Evaluated Action Required Corrected
a. Does the office have extended office hours? ☐Yes ☒N
(1) If so, are they adequate and effective?
(1) If so, are they adequate and effective?
(1) If so, are they adequate and effective? □Yes □N b. Are persons waited on promptly and courteously? □Yes □N

(4) Are officer substitutions for nonunkept at a minimum?	iformed positions		⊠Yes	□No
10. SCHOOL BUS DRIVER EXAMINATIONS	Evaluated 🖂	Action Required	Corrected	
a. Is school bus driver testing a special coordinator assigned? Special Duty	duty or a clerical fund	ction, or is a full-time	school bus	
function (Officer Joe Vega - PIO)				
(1) Are tests and test keys kept in a s	ecure place?		⊠Yes	□No
(2) How are interested parties advised process the procedures are	d of testing procedure	es? At the beginning	of the testing	9
reviewed with the applicants prior to	testing.			
(a) Are exams graded in the preser missed questions discussed?	nce of the applicant, a	and	⊠Yes	□No
(b) Does the officer take possessio	n of the test and disp	ose of accordingly?	⊠Yes	□No
(3) How are tests disposed of? Shred	ded immediately afte	er being graded.		
(4) Is there a specific date and time so	et aside for testing?		⊠Yes	□No
11. COURT INFORMATION PROCEDURES	Evaluated	Action Required	Corrected	
a. Is there a systematic method of coord	dinating court appear	ance matters?	⊠Yes	□No
(1) What controls are in place to ensu provides a list to supervisors in	re officers appear in	court? Court officer	follows up,	
the event a court appearance was mocourt appearances are made.	issed, supervisors fol	low up wth officers to	ensure all f	uture
(a) How are appearances minimize	d following cancellati	ons? Court officer no	otifies the off	icers
×				
(b) How are "short notice" cancellate the court.	tions minimized? Co	urt officers is in cons	tant contact v	with
(2) Are CHP 90s properly distributed a appropriate cases?	and completed on all		⊠Yes	□No
(3) Who is responsible for managing t	the process? OSS I,	supervisors, manage	ers	
(a) Are court officers performing du handled by clerical personnel?	ties that could be		Yes	⊠No

Chapter 5
OFFICE MANAGEMENT

12. DEPARTMENTAL MANUALS	Evaluated	Action Required	Corrected	
a. Are the number of authorized libraries	s being maintained?		⊠Yes	□No
(1) Are the libraries convenient for the	se who must use the	em?	⊠Yes	□No
(a) What controls are in place for "leemployees. Because all	oaning" manuals to e	employees? Manuals	are not loar	ed to
manuals are on line, employees c the manual on their laptop	an make digital copie	es of any manual they	/ need and re	eview
computer.				
(2) Are publications distinctively mark	ed so they can be rea	adily identified?	⊠Yes	□No
(a) Are the number of libraries exce	essive or sufficient?	Sufficient		
(b) Is there a listing available of wha	at should be in each	library?	⊠Yes	□No
(3) Are publications kept up-to-date?			⊠Yes	□No
(4) Who files publication changes? W	/PT (Jessica Barrett)			
COMMENTS			10,-	
CHP 453E (Rev 1-96)				Page 9

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OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

ARLA	DiVISION	NUMBER
Gilroy L. F.	Coastal	726-69-865
EAVITOVILD BA		DATE
M. O. Delaney		11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

FOR EVALUATION Formal Evaluation Informal Evaluation Formal Evaluation Informal Evaluation Formal Evaluation Informal Evaluation Commanders review Yes No BY M.O.DE LANCE	DATE	
Correction Report	DATE	
	11-7	74-09
CLERICAL TASKS EVALUATED ACTION REQUIRED NO	CORRECT	б
a: Is the office well organized?	√ Yes	No
(1) Are there written job descriptions?	🕖 Yes	∐ No
(a) Does clerical staff have their job description at their desk?	✓ Yes	□No
(b) Does clerical staff understand what is expected of them?	✓ Yes	□No
(2) Are similar activities grouped together to promote efficiency?	✓ Yes	∏ No
(3) If tape recorders are used, can clerical employees transcribe effectively?	9 [] Yes	□No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	√ Yes	No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	[v] Yes	. No
b. Is the Office Services Supervisor (OSS) effective?	[✓] Yes	. No
(1) Does he/she properly apply management philosophies and supervisory skills?	✓ Yes	∐ No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	✓ Yes	□No
(b) Is the clerical supervisor an effective manager?	Yes	□No
(2) Does the OSS identify employes with supervisory potential?	✓ Yes	□No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	✓ Yes	[No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	.√. Yes	No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	Y Yes	L_ No
(3) Does the supervisor set a	✓ Yes	□No
(a) Does he/she show a willing less to assist subording personner	✓ Yes	□No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	✓ Yes	□No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	✓ Yes	∏ No
(5) Does the OSS participate in Area staff meetings?	[√] Yes	. No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

2. FI	LIN	G SYSTEM	Yes	ACTION REQUIRED No	CORRICTE	27
а		the Area's filing system in compliance with departmental guid	elines contained	in HPG 11 1, Field Office	- de e	5 5
ж в		e Guide?		689 8 B B B	[v] Yes	No
b		e other files, i.e., permanent files, enforcement document files			✓ Yes	No
	(1)	How far back are accident reports being maintained? N/A	- Accident Repor	ts are filed at Hollister-Gilro	oy Area	
	(2)	Is there a filing backlog?			Yes	☑ No
	(3)	Is there evidence of recent office review?			✓ Yes	□No
	(4)	How are Management and All Commanders Memorandums	filed and purged	? Maintained in annual bir	nders and retai	ned for
		years.				
	(5)	Are Training and Information Bulletins filed?			[√] Yes	No
		(a) If so, how are they located? Available in binders in	supply room			
	(6)	Do all clerical employees understand the filing system?			✓ Yes	□No
	(7)	Does the Area have an effective suspense system?			✓ Yes	☐ No
		(a) Do all supervisors take advantage of the suspense syst	tem?		✓ Yes	□No
C,	Are	e personnel files properly secured and access limited?			✓ Yes	[] No
	(1)	Are the requirements of the Information Practices Act being	followed?		[√] Yes	No
	(2)	Is a periodic review done on a regular basis?			[√] Yes	No
	-	(a) If so, how often? Annually		The second secon		
	(3)	Is annual employee review and updating conducted as requ	ired?		✓ Yes	No
	(4)	Are only required or permitted items contained in personnel	folders?		✓ Yes	No
SE	CUF	RITY OF CRIMINAL RECORDS	No - N/A	ACTION REQUIRED	CORRECTED	
a	Hav stat	ve employees who have access to criminal offender record in ting they understand the regulations and policies pertaining to	formation signed	an acknowledgment	Yes	∏ No
	(1)	Has the Area designated a specific person to release crimin	al offender record	information?	☐ Yes	□ No
		(a) Do any other persons release this information?			Yes	No
		(b) Has the designated person completed the required train	ning?		Yes	No
		(c) Are safeguards in place to verify telephone inquiries prior	or to disclosure?		[_] Yes	: No
	(2)	Does each person that is designated to release information Record Information Release Log?	maintain a CHP 2	263B, Criminal Offender	Yes	[] No
		(a) Are entries maintained for the prescribed period of time	?		☐Yes	□No
FIS	CAL	L PROCEDURES	Yes	ACTION REQUIRED	CORRECTED	8
a.	Hav	ve discrepancies on the most current audit reports been corre			✓ Yes	☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

(1)	Are all change fund and collections handled and processed according to policy?	√ Yes	No
	(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	√ Yes	□No
	(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	☐ Yes	□No
	(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	Yes	✓ No
	(d) Are collections and change funds safeguarded?	✓ Yes	□No
	(e) Are checks promptly endorsed and cash receipts reconciled daily?	√ Yes	No
	(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	✓ Yes	No
	(g) What specific guidelines are in place for security control and accountability? All counter receipts are	kept in a se	cure location.
	GIF does not have a change fund as reports are not sold at this location. Only receipts issued are for	civil witnes	ss fees.
	(h) Is a supervisor responsible for review of the system?	✓ Yes	□No
	(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	√ Yes	□No
	(j) Are counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k) Are surprise counts of funds performed and documented by the commander or designee?	[] Yes	No
(2)	Are security and accountability procedures in place for the petty cash fund?	[✓] Yes	No
	(a) Is the petty cash fund used only for authorized purchases within the limited amount?	[v] Yes	No
	(b) Are valid authorizations on file?	7 Yes	☐ No
	(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	√ Yes	No
	(d) Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	☐ No
	(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	∏ No
(3)	Are X-Number services proper and within departmental and state policy?	✓ Yes	□ No
	(a) Are services procured over \$4,999.99?	[] Yes	[✓] No
	(b) Is the amount limit circumvented by splitting procurements?	Yes	[∕] No
	(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	[] No
	(d) Do invoices itemize charges and reference X-Numbers?	✓ Yes	☐ No
(4)	Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□ No
	(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?		[] No
	(b) Are purchases within established policy?	[v] Yes	∐ No
	(c) Are three price quotations obtained and documented on a CHP 315X?	✓ Yes	□No
	(d) Is the bank card log completed properly?	[7] Yes	I_No

AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

		(e) Are invoices and CHP 317, CAL-Card Log, rev	viewed by a supervisor?		✓ Yes	□No
		(f) Is there a reconciliation of the monthly bank ca	ard statement, and does it h	ave supervisory approval?	✓ Yes	No
-	o_ Wh	/hat controls does the commander have in place to en	nsure timely transmittals of	monies? Commander review	of the wee	kly
-	tra	ansmittal and all civil supoena/CHP 90 documentation	on.			15
_				N= 1 10		
	(1)) Are collections sent to Fiscal Management Section	at the first occurrence of \$	61,000 in cash and		
		\$10,000 total collections, or at the close of business	s each Thursday?		√ Yes	☐ No
	(2)) Are monies received for DL45s, California Special evidence, etc., handled appropriately by coordinating			✓ Yes	□No
	(3)) Are "no collection" transmittals sent when appropri	iate?		✓ Yes	∏No
	(4)) Do tire sale transactions comply with policy?		NIA	Yes	No
(. Is s	security of the postage machine adequate?			✓ Yes	No
	(1)) Is the machine locked when not in use?	· vare		✓ Yes	No
	(2)) Is the meter reading documented as required?			[✓] Yes	No
	(3)	Is there documentation of monies refunded or forward postage machine is being repaired or replaced?	arded to Fiscal Manageme	nt Section when the	✓ Yes	☐ No
, 5	SUPPL	PLY REQUISITIONS (CHP 41)	evaluated Yes	ACTION REQUIRED	CORRECTED).
- 2	а Аге	e requisitions prepared properly?	1 03	1110	✓ Yes	☐ No
	(1)) Who prepares them? OSSI				
-	(2)	Has a practical stock level been established and m	aintained?	7.	√' Yes	No.
-	(3)	Is there a system that notifies the staff when the qu	uarterly requisition is going	to be prepared?	√ Yes	No
_		(a) Is the quarterly requisition period for this comm	nand adhered to?	*	Y Yes	No
		(b) Is there a high number of emergency requisition	ons?		Yes	☑ No
b	. Are	e items stored properly in a storeroom?			✓ Yes	☐ No
	(1)	Is there convenient access for regularly used items	?		✓ Yes	□No
_	(2)	Have obsolete items been removed?			✓ Yes	No
. 5	SUPPL	LIES	Yes	ACTION REQUIRED	CORRECTED)
а	Are	e all cameras assigned to the command accounted fo	or?		i√ Yes	No
	(1)	Are camera cases clean and do they contain the re	equired accessories?		[✓] Yes	No
	(2)	Is camera maintenance assigned to a particular ind	lividual?		✓ Yes	No
		(a) \A/bat is his/har preventative resistance ashe	del O N. G	us in Consequently used and not in	n need of re	gular
		(a) What is his/her preventative maintenance sche	edule? None. Cameras a	re infrequently used and not if		
-	•	maintenance.	edule? None. Cameras a	re infrequently used and not in		

OFFICE MANAGEMENT

(1) Is there adequate security for extender bat	teries and other	supplies?		[/] Yes	. No
. OFF	FICE EQUIPMENT		EVALUATED Yes	NO	CORRI CTE	D
a. /	Are office machines in good condition and prop	erly maintained?)		Yes	□ No
(1) Is the vendor complying with maintenance	contract provisio	ns?		✓ Yes	□No
(2) Is there a shortage or surplus of machines	?			Yes	✓ No
b. I	s the Management Information System (MIS) u	used properly?			[₹] Yes	No
(1) Who is authorized to use the equipment?	Clerical staff, s	sergeants and licute	enant.	-	
(2) How is training provided, and by whom?	In-house traini	ng by OSS1.			
(Is there a usage schedule for uniformed an	nd nonuniformed	personnel?		☐ Yes	✓ No
(-	4) Are there controls in place to ensure confid	lentiality?			✓ Yes	□No
(:	5) Are all personnel aware of how to request i	repairs after norn	nal business hours	?	✓ Yes	□ No
(1	6) Is the MIS used to send messages to other	offices in lieu of	formal memorandu	ıms?	V Yes	No
(7)	What system is used to ensure proper routing	of MIS informati	ion? Commander	review.		
c. A	Are personal computers used properly?				√ Yes	No
(1) Who is authorized to use the equipment?	All employees.				
(2	2) How is training provided, and by whom?	New employees	are given hands-on	training at the Facility.		
NTSU R	(a) How many employees are trained in its	s use? 46	**************************************			
(3	3) Are there restrictions on the time its used?				Yes	∵ No
	(a) Is there a schedule for uniformed and r	nonuniformed em	nployees?		Yes	✓ No
(4	4) Is confidential or sensitive information being	g stored on a PC	hard drive?	10 mm 1 f mm 1 f m m m m m m m m m m m m m	✓ Yes	□ No
	(a) If so, is the PC password protected?				✓ Yes	□No
	(b) Is confidential or sensitive information secure area?	stored on disks, (CDs, or removable	drives kept in a	✓ Yes	□No
(5	5) What is the PC being used for? State bus	iness only.				
(6	Are controls present to prevent inappropriat	te/personal use o	of the computer?		√ Yes	No

(7) Are backup procedures being performed on a regular	basis?		✓ Yes	Nc
	(a) Where applicable, are backup disks stored in a s	secure area?		✓ Yes	□ No
(Are PC manuals and other documentation available t	o all users?		✓ Yes	□No
(9) What procedures are in place to ensure out-of-date d	locuments and files are p	ourged? Periodic review l	by LAN coord	inator.
(10) Are employees aware of the availability of assistance	in resolving computer re	elated problems?	Yes	No
(11) Is anti-virus software regularly utilized on all state-ow	ned PCs?		✓ Yes	□No
8. PUB	LIC CONTACTS	Yes	No REQUIRED	CORRECTED	>
a. D	loes the office have extended office hours?			✓ Yes	
(*) If so, are they adequate and effective?			✓ Yes	□No
b A	re persons served promptly and courteously?			✓ Yes	∏ No
(*) Are backup personnel immediately available?	AT .		[✓] Yes	. No
(2	2) Is telephone service both efficient and effective?			[v] Yes	_ No
(3	3) Are limited duty personnel used for receptionist duties	s and answering telephor	nes?	✓ Yes	∐ No
(4	A) Are officer substitutions for nonuniformed positions ke	ept at a minimum?		✓ Yes	□No
. SCH	OOL BUS DRIVER EXAMINATIONS	evaluated No - N/A	ACTION REQUIRED	CORRECTED	
a 	s school bus driver testing a special duty or a clerical fund ssigned?	ction, or is a full-time sch	ool bus coordinator	20 L	
	Are tests and test keys kept in a secure place? How are interested parties advised of testing procedu	res?		[] Yes	No
	(a) Are exams graded in the presence of the application (b) Does the officer or coordinator take possession or	nt, and missed questions		☐ Yes ☐ Yes ☐ Yes	□ No
(3	(a) Are exams graded in the presence of the application (b) Does the officer or coordinator take possession or the application.	nt, and missed questions f the test and dispose of	accordingly?	☐ Yes ☐ Yes	No No
(3	(a) Are exams graded in the presence of the applicant (b) Does the officer or coordinator take possession of the How are test disposed of?	nt, and missed questions		☐ Yes ☐ Yes	□ No

LI. N MAPLES 1/7/2010

STATE OF CALIFORNIA			,
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL	AREA	NVISIC .	NUMBER
AREA MANAGEMENT EVALUATION	Templeton	Coastal	740
OFFICE MANAGEMENT	EVALUATED BY		DATE
CHP 453E (Rev. 5-06) OPI 009	D. Aguilar, #11915		11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVA		mal Evaluation	SUSPENSE DATE			
FOLLOW-UP	REQUIRED	☐ Correction Report	COMMANDER'S REVIEW	V	DATE	
Yes	☑ No	ву	D. E. Aguilar, #1	1915	11/30/20	09
1. CLER	ICAL TASKS		evaluated D. Aguilar	None	CORRECTED N/A)
a. Is t	the office well organized?			· ·	✓ Yes	□No
(1)	Are there written job des	scriptions?			✓ Yes	□No
	(a) Does clerical staff h	ave their job description at their des	sk?		√ Yes	□No
	(b) Does clerical staff u	nderstand what is expected of them	1?		✓ Yes	□No
(2)	Are similar activities gro	uped together to promote efficiency	?		✓ Yes	□No
(3)	If tape recorders are use	ed, can clerical employees transcrib	e effectively?		✓ Yes	□No
(4)	Is the clerical staff knowl security, etc.?	ledgeable in the use of personal cor	mputers, filing requ	irements, information	✓ Yes	□No
(5)	Can another clerical emp	oloyee assume the duties of a cleric	cal employee who is	s absent?	✓ Yes	□No
b. Is t	the Office Services Superv	visor (OSS) effective?			✓ Yes	□No
(1)	Does he/she properly ap	ply management philosophies and	supervisory skills?		✓ Yes	□No
	(a) Does he/she have the	ne authority and backing necessary	to effectively supe	rvise subordinates?	✓ Yes	□No
	(b) Is the clerical super	visor an effective manager?		¥1	✓ Yes	□No
(2)	Does the OSS identify en	mployes with supervisory potential?			✓ Yes	□No
	(a) Does he/she assist development?	employees in the preparation of wri	tten plans for progr	ressive career	✓ Yes	□No
	(b) Have special interes been afforded the e	sts been identified and educational omployees?	opportunities and/o	r departmental training	✓ Yes	□No
		ndividual Development Plan for Futued to identify particular strengths of		ce of Permanent	✓ Yes	□No
(3)	Does the supervisor set	a good example?			✓ Yes	□No
	(a) Does he/she show a	willingness to assist subordinate p	ersonnel?		✓ Yes	□No
	(b) Does he/she know v	vhen to act, when to delegate, and v	when to refer to a s	supervisor?	✓ Yes	□No
(4)	If there is more than one	OSS, is the work and supervision e	evenly distributed?		Yes	☑ No
(5)	Does the OSS participate	e in Area staff meetings?			✓ Yes	□No

2. F	ILIN	G SYSTEM	D. Aguilar	ACTION REQUIRED None	CORRECTED N/A	
а	. Is	the Area's filing system in compliance with departmental guid				
	File	e Guide?			✓ Yes	□No
b.	. Are	e other files, i.e., permanent files, enforcement document files	, etc., maintained a	ccording to policy?	Yes	□No
	(1)	How far back are accident reports being maintained? Four	years plus current.			
	(2)	Is there a filing backlog?			☐ Yes	✓ No
	(3)	Is there evidence of recent office review?			✓ Yes	□No
	(4)	How are Management and All Commanders Memorandums	filed and purged?	They are filed in a bind	er and purged b	y expiration
		date.				
	(5)	Are Training and Information Bulletins filed?			✓ Yes	□No
		(a) If so, how are they located? In a binder.	-11-11-2711			
	(6)	Do all clerical employees understand the filing system?			✓ Yes	□No
	(7)	Does the Area have an effective suspense system?			✓ Yes	□ No
		(a) Do all supervisors take advantage of the suspense sys	tem?		✓ Yes	☐ No
C.	Are	e personnel files properly secured and access limited?			✓ Yes	□No
	(1)	Are the requirements of the Information Practices Act being	followed?		✓ Yes	□No
	(2)	Is a periodic review done on a regular basis?			✓ Yes	□No
		(a) If so, how often? Annually.				
	(3)	Is annual employee review and updating conducted as requ	ired?		√ Yes	□No
	(4)	Are only required or permitted items contained in personnel	folders?		✓ Yes	□No
3. S	ECUI	RITY OF CRIMINAL RECORDS	EVALUATED	ACTION REQUIRED	CORRECTED	
a.		ve employees who have access to criminal offender record ir ting they understand the regulations and policies pertaining to	-	n acknowledgment	✓ Yes	□No
	(1)	Has the Area designated a specific person to release crimin	al offender record	nformation?	✓ Yes	□No
		(a) Do any other persons release this information?			Yes	✓ No
		(b) Has the designated person completed the required train	ning?		✓ Yes	□No
		(c) Are safeguards in place to verify telephone inquiries pri	or to disclosure?		√ Yes	□No
	(2)	Does each person that is designated to release information Record Information Release Log?	maintain a CHP 26	3B, Criminal Offender	✓ Yes	□No
		(a) Are entries maintained for the prescribed period of time	?		✓ Yes	□No
4. FI	SCA	L PROCEDURES	D. Aguilar	None	ORRECTED N/A	0
a.	Hav	ve discrepancies on the most current audit reports been corre	ected?	= 	✓ Yes	☐ No

(1)	Are a	all change fund and collections handled and processed according to policy?	✓ Yes	□No
		Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	✓ Yes	□No
		Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded o Fiscal Management Section?	✓ Yes	□No
	(c) I	s there a separation of duties between cashier responsibilities and transmittal of collections?	✓ Yes	□No
	(d) A	Are collections and change funds safeguarded?	✓ Yes	□No
	(e) A	Are checks promptly endorsed and cash receipts reconciled daily?	✓ Yes	□No
		Are counter receipts and DL45s that are issued in sequence accounted for and returned or Fiscal Management Section upon completion?	✓ Yes	□No
	(g) V	What specific guidelines are in place for security control and accountability? The change fund and petty	cash are l	ocked in a
		desk drawer which the OSS-1 and OA have access to the key. The change fund and petty cash are reco	nciled eacl	n Friday
		when the transmittals are done.		
	(h) I	s a supervisor responsible for review of the system?	✓ Yes	□No
	(i) D	to total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□No
	(j) A	re counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k) A	Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	□No
(2)	Are s	ecurity and accountability procedures in place for the petty cash fund?	✓ Yes	□No
	(a) I	s the petty cash fund used only for authorized purchases within the limited amount?	✓ Yes	□No
	(b) A	Are valid authorizations on file?	✓ Yes	□No
		s a Disbursement Voucher (Std. 439) completed and signed by the commander when the eceipt does not show the vendor name or item purchased?	✓ Yes	□No
	(d) A	Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	□No
	(e) A	Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
(3)	Are X	-Number services proper and within departmental and state policy?	✓ Yes	□No
	(a) A	Are services procured over \$4,999.99?	☐ Yes	☑ No
	(b) Is	s the amount limit circumvented by splitting procurements?	☐Yes	✓ No
	(c) A	are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	□No
	(d) E	Oo invoices itemize charges and reference X-Numbers?	✓ Yes	□No
(4)	Are ba	ank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□No
	(a) A	are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	□No
	(b) A	are purchases within established policy?	✓ Yes	□No
	(c) A	re three price quotations obtained and documented on a CHP 315X?	✓ Yes	□No
	(d) Is	s the bank card log completed properly?	✓ Yes	□No

b.							
b.		(e)	Are invoices and CHP 317, CAL-Card Log, reviewed by	a supervisor?		✓ Yes	□No
b.		(f)	Is there a reconciliation of the monthly bank card statement	ent, and does it have su	pervisory approval?	✓ Yes	□No
	Wh	nat c	controls does the commander have in place to ensure time	ly transmittals of monies	? A weekly suspense.		
	(1)		e collections sent to Fiscal Management Section at the firs 0,000 total collections, or at the close of business each Th		n cash and	✓ Yes	□No
	(2)		e monies received for DL45s, California Special Driver's Cidence, etc., handled appropriately by coordinating transmi			✓ Yes	□No
	(3)	Аг	re "no collection" transmittals sent when appropriate?			✓ Yes	☐ No
	(4)	Do	tire sale transactions comply with policy?			✓ Yes	☐ No
C.	ls s	secu	rity of the postage machine adequate?			✓ Yes	□No
	(1)	ls t	the machine locked when not in use?			✓ Yes	□No
	(2)	ls t	the meter reading documented as required?			✓ Yes	□No
	(3)		there documentation of monies refunded or forwarded to F stage machine is being repaired or replaced?	iscal Management Sect	ion when the	✓ Yes	□No
. su	JPPL	LY F	REQUISITIONS (CHP 41)	D. Aguilar	None None	N/A	
a.	Are	e req	quisitions prepared properly?			✓ Yes	□No
	(1)	VVł	ho prepares them? The OA or OSS-1				
	(2)	На	as a practical stock level been established and maintained?	?		✓ Yes	□ No
	(3)	ls t	there a system that notifies the staff when the quarterly rec	quisition is going to be p	repared?	✓ Yes	□ No
		(a)	Is the quarterly requisition period for this command adhe	ered to?		✓ Yes	□No
		(b)	Is there a high number of emergency requisitions?			☐Yes	✓ No
b.	Are	e iter	ns stored properly in a storeroom?			✓ Yes	□No
	(1)	ls t	there convenient access for regularly used items?			✓ Yes	□ No
	(2)	На	ve obsolete items been removed?			✓ Yes	□ No
. su	IPPL	LIES		D. Aguilar	None None	N/A	
a.	Are	all	cameras assigned to the command accounted for?			✓ Yes	□No
	(1)	Are	e camera cases clean and do they contain the required ac	cessories?		✓ Yes	□No
	(2)	ls c	camera maintenance assigned to a particular individual?			✓ Yes	□No
		(a)	What is his/her preventative maintenance schedule? P	eriodic inspection on a	monthly basis.		
	Are	all e	extenders assigned to the command accounted for?			✓ Yes	No

	Is there adequate security for extender bases	atteries and othe			✓ Yes	□ No
OFFI	ICE EQUIPMENT		D. Aguilar	None	N/A)
a. Ar	are office machines in good condition and pro	perly maintaine	d?		✓ Yes	□No
(1)	l) Is the vendor complying with maintenance	e contract provis	sions?		✓ Yes	□No
(2)	2) Is there a shortage or surplus of machine	s?			✓ Yes	□No
b. Is	s the Management Information System (MIS)	used properly?			✓ Yes	□No
(1)) Who is authorized to use the equipment?	All CLETS t	trained employees.			
(2)	2) How is training provided, and by whom?	Training is p	provided online by the	department.		
(3)	Is there a usage schedule for uniformed a	and nonuniforme	ed personnel?		☐ Yes	✓ No
(4)	Are there controls in place to ensure conf	identiality?			✓ Yes	□No
(5)	s) Are all personnel aware of how to reques	t repairs after no	ormal business hours?	1	✓ Yes	□No
(6)	s) Is the MIS used to send messages to other	er offices in lieu	of formal memorandu	ms?	☐Yes	✓ No
(7)	What system is used to ensure proper routing	ng of MIS inform	ation? AMIS			
c. Ar	re personal computers used properly?				✓ Yes	□No
(1)) Who is authorized to use the equipment?	Properly trai	ned employees both u	niformed and non-unifor		
(2)) Who is authorized to use the equipment?					
) Who is authorized to use the equipment?	Area LAN coo				No
) Who is authorized to use the equipment?2) How is training provided, and by whom?(a) How many employees are trained in	Area LAN coo				☑ No
(2)) Who is authorized to use the equipment? 2) How is training provided, and by whom? (a) How many employees are trained in	Area LAN coo	rdinator by scheduled		med.	
(2)	Who is authorized to use the equipment? How is training provided, and by whom? (a) How many employees are trained in Are there restrictions on the time its used (a) Is there a schedule for uniformed and	Area LAN coo its use? 30 ?	rdinator by scheduled		med.	✓ No
(2)	Who is authorized to use the equipment? How is training provided, and by whom? (a) How many employees are trained in Are there restrictions on the time its used (a) Is there a schedule for uniformed and	Area LAN coo its use? 30 ?	rdinator by scheduled		med. ☐ Yes ☐ Yes	✓ No ✓ No
(2)	 Who is authorized to use the equipment? How is training provided, and by whom? (a) How many employees are trained in Are there restrictions on the time its used (a) Is there a schedule for uniformed and) Is confidential or sensitive information being 	Area LAN coo its use? 30 ? d nonuniformed ing stored on a F	rdinator by scheduled employees? C hard drive?	appointment.	□ Yes □ Yes □ Yes	✓ No ✓ No
(3)	 (a) How many employees are trained in Are there restrictions on the time its used (a) Is there a schedule for uniformed and (b) Is confidential or sensitive information secure area? 	Area LAN coo its use? 30 ? d nonuniformed ing stored on a f	rdinator by scheduled employees? C hard drive?	appointment.	rmed. ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes	✓ No ✓ No ✓ No
(3)	 (a) How many employees are trained in Are there restrictions on the time its used (a) Is there a schedule for uniformed and (b) Is confidential or sensitive information secure area? 	Area LAN coo its use? 30 ? d nonuniformed ing stored on a f	employees? PC hard drive? s, CDs, or removable	appointment.	rmed. ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes	✓ No ✓ No ✓ No

AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

(1)) What controls are in place to ensure officers appear	in court? Subpoena serv	ice tracking log. Periodic	sergeant obse	ration at
	court. Court disposition notifications are sent by co	urt.	<u> </u>		· · · · · · · ·
	(a) How are appearances minimized following cancer	ellations? Efficient notif	fication of the employee b	y clerical staff	2
	(b) How are "short notice" cancellations minimized?	Efficient notification o	f the employee by clerical	staff.	- :=
(2)	Are CHP 90s, Report of Court Appearance - Civil Act appropriate cases?	ion, properly distributed a	nd completed on all		No
(3)	Who is responsible for managing the process? OS	SSI			
	(a) Are court officers performing duties that could be	handled by clerical person	nnnel?	□Yes	✓ No
		. Haridica by cierical perso	ATTITICT:		[4] 140
DEP	ARTMENTAL MANUALS	EVALUATED Yes	ACTION REQUIRED	CORRECTED	
		EVALUATED	ACTION REQUIRED		
a Are	ARTMENTAL MANUALS	Yes Yes	ACTION REQUIRED	CORRECTED)
a Are	ARTMENTAL MANUALS e the number of authorized libraries being maintained?	Yes hem?	ACTION REQUIRED	CORRECTED Y Yes	No
a Are	ARTMENTAL MANUALS e the number of authorized libraries being maintained? Are the libraries convenient for those who must use the	Yes hem?	ACTION REQUIRED No	CORRECTED Y Yes	No
(1)	ARTMENTAL MANUALS e the number of authorized libraries being maintained? Are the libraries convenient for those who must use the	revaluated Yes hem? to employees? N/A - a	ACTION REQUIRED No	CORRECTED Y Yes	. No
(1)	e the number of authorized libraries being maintained? Are the libraries convenient for those who must use to the libraries are in place for "loaning" manuals	readily identified?	No No	CORRECTED ✓ Yes ✓ Yes	No No
(1)	e the number of authorized libraries being maintained? Are the libraries convenient for those who must use to (a) What controls are in place for "loaning" manuals. Are publications distinctively marked so they can be respectively.	hem? to employees? N/A - a readily identified? t? Only one for the comi	No No	CORRECTED ✓ Yes ✓ Yes	No No
(1) (2)	ARTMENTAL MANUALS e the number of authorized libraries being maintained? Are the libraries convenient for those who must use the second of t	hem? to employees? N/A - a readily identified? t? Only one for the comi	No No	CORRECTED ✓ Yes ✓ Yes	No No

(7) Are backup procedures being performed on a regu	ular basis?		✓ Yes	□No
(a) Where applicable, are backup disks stored in	a secure area?		✓ Yes	□No
(8) Are PC manuals and other documentation availab	le to all users?		✓ Yes	□No
(9) What procedures are in place to ensure out-of-dat	te documents and files are pu	irged?		
LAN Coordinator purges necessary files.				
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(10) Are employees aware of the availability of assistar	nce in resolving computer rela	ated problems?	✓ Yes	□No
(11) Is anti-virus software regularly utilized on all state-	owned PCs?		✓ Yes	□No
. PUBLIC CONTACTS	D. Aguilar	None	CORRECTED N/A	9
a. Does the office have extended office hours?			Yes	☑ No
(1) If so, are they adequate and effective?			☐Yes	☑ No
b. Are persons served promptly and courteously?			✓ Yes	□No
(1) Are backup personnel immediately available?			✓ Yes	□No
(2) Is telephone service both efficient and effective?			✓ Yes	□No
(3) Are limited duty personnel used for receptionist du	ities and answering telephon	es?	✓ Yes	□No
(4) Are officer substitutions for nonuniformed positions	s kept at a minimum?		✓ Yes	□No
SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED D. Aguilar	None	N/A	00
a. Is school bus driver testing a special duty or a clerical assigned? Special Duty function.	function, or is a full-time scho	ol bus coordinator		
assigned? Special Duty function.				
(1) Are tests and test keys kept in a secure place?			✓ Yes	□No
	edures? Officer has orienta	ation at the start of school		
(1) Are tests and test keys kept in a secure place?	edures? Officer has orienta	ation at the start of school		
(1) Are tests and test keys kept in a secure place?(2) How are interested parties advised of testing process.				
(1) Are tests and test keys kept in a secure place?(2) How are interested parties advised of testing procedure is also explained as the test is given.	licant, and missed questions	discussed?	bus classes an	id the
 (1) Are tests and test keys kept in a secure place? (2) How are interested parties advised of testing procedure is also explained as the test is given. (a) Are exams graded in the presence of the app 	licant, and missed questions	discussed?	bus classes an	d the
 (1) Are tests and test keys kept in a secure place? (2) How are interested parties advised of testing procedure is also explained as the test is given. (a) Are exams graded in the presence of the app (b) Does the officer or coordinator take possession (3) How are test disposed of? Shredded locally. 	licant, and missed questions on of the test and dispose of	discussed?	bus classes an ✓ Yes ✓ Yes	d the
 (1) Are tests and test keys kept in a secure place? (2) How are interested parties advised of testing procedure is also explained as the test is given. (a) Are exams graded in the presence of the app (b) Does the officer or coordinator take possession 	licant, and missed questions on of the test and dispose of	discussed?	bus classes an	d the
 (1) Are tests and test keys kept in a secure place? (2) How are interested parties advised of testing procedure is also explained as the test is given. (a) Are exams graded in the presence of the app (b) Does the officer or coordinator take possession (3) How are test disposed of? Shredded locally. 	licant, and missed questions on of the test and dispose of	discussed? accordingly?	bus classes an	d the

	(1)	Wh	nat controls are in place to ensure officers appear in court	? All subpoenas are lo	gged in a subpoena com	puter datab	ase. The	
		ori	ginal copies of the subpoena are given to the officers for	services. Sergeants will	serve the subpoena, the	officers w	ill sign and	
		dat	te the subpoena and then give to the subpoena clerk for fi	for filing.				
		(a)	How are appearances minimized following cancellations	ces minimized following cancellations? If the cancellation is received, information will be logged in the				
		subpoena database and a copy is printed to be given to the officer for cancellation. If the cancellation is received while						
			officer is on vacation or RDO's, notification will be ma	nde telephonically by cl	ally by clerical staff or court officer.			
		(b) How are "short notice" cancellations minimized? Clerical staff contacts the court days prior to the court case.						
	(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?					✓ Yes	□No	
(3) Who is responsible for managing the process? OSS-I or OA.								
		I						
	(a) Are court officers performing duties that could be handled by clerical personnel?					Yes	✓ No	
11. [EPA	RTN	MENTAL MANUALS	EVALUATED D. Aguilar	None	CORRECTED N/A	<i>*</i>	
a.	Аге	re the number of authorized libraries being maintained?				✓ Yes	□No	
	(1) Are the libraries convenient for those who must use them?					✓ Yes	□No	
(a) What controls are in place for "loaning" manuals to employees? None. No manuals a								
			4					
	(2) Are publications distinctively marked so they can be readily identified?					✓ Yes	□No	
		(a)	Are the number of libraries excessive or sufficient? Suff	ficient.				
		(b)	Is there a listing available of what should be in each libra	ıry?		✓ Yes	□No	
	(3)	Āге	publications kept up-to-date?			✓ Yes	□No	
	(4)	Who	o files publication changes? The OA.					
	-							